

1 BOARD POLICIES FRAMEWORK

1.1 Overview

King's University College (KUC) is a not-for-profit incorporated Catholic post-secondary education institution. The governance model for King's University College has evolved towards a policy governance approach as adopted by the Board of Directors.

This document represents the first phase in developing a Board Policies Manual for King's University College, focusing on Governance Policies. The second phase will involve specific Board Policies. Once finalized by the Board of Directors, the Board Policy Manual will incorporate:

- **Governance Policies** - policies by which the Board of Directors will govern the organization and itself.
- **Board Policies** - the Board's directions to management re: the Principal on specific topics and themes.

1.2 Definitions and Structure

1.2.1 Introduction

The following definitions as to Governance Policy, Board Policies, Operating Policies, Professional and Technical Standards and Procedures have been developed to facilitate an understanding of the role and application of each of these elements within the overall policies and procedures framework for King's University College.

1.2.2 Governance Policies

The Governance Policy is about the Board's work and organizational directions. These policies include both the Governance Policy and each policy's aligned procedures.

A policy approved by the Board of Directors that directs how the Board will govern the organization, the Board's own directions and processes, and its interactions with its sole employee the College Principal.

1.2.3 Board Policy

Board Policies once approved by the Board describe, for those involved in a decision, the Board's directions, intent, expectations and desired outcomes and related considerations on a particular need, theme or decision topic. A policy framework approach recognizes that not every decision can be prescriptive for every situation or application. Therefore, what a Board of Directors provides are Board Policies that give decision-makers guidance and direction as to intent or other inputs relative to what the decision outcomes can be. These Policies have the capacity to be either prescriptive or open-ended depending on the risks and applications that are inherent in a particular individual theme or topic. In all cases, these Board Policies need to indicate intent and direction to management and others as appropriate, plus how policy monitoring will occur.

The following definition is provided with respect to defining a Board Policy:

A Board Policy is a statement that provides for a defined issue or topic, the Board of Directors' intent and direction on that issue or topic to management. A Board Policy's contents includes:

- ***The purpose and scope of the Board Policy's application and impact.***
- ***The goals, objectives and intended outcomes of the Board Policy, i.e. what is desired / intended.***
- ***The key criteria and other framework components that are intended to influence, impact, shape or otherwise affect a decision or decisions within the policy issue or theme.***
- ***Definition of key terms in the Board Policy so that simple language prevails and the broadest possible understanding by readers and users exists.***
- ***The frequency and content framework for monitoring reports, and***
- ***In a high-change operating environment, ongoing review process in order to sustain relevancy, intent, usefulness and appropriateness. A Board Policy will define key terms in simple language to facilitate clear understanding by the broadest possible types of readers and users;***
- ***All Board Policies will be signed by the Chair and dated to indicate Board approval.***

1.2.4 Operating Policies

These are policy statements developed and implemented by management that connect to a Board Policy and not to a Governance Policy. They provide direction to staff on management requirements and expectations on the defined topic or theme. They are signed by the Principal and should be reviewed every three years for updating and renewal as required. They do not need Board of Director approval but could be shared with the Board for information and potentially for input of the Principal's wishes.

An Operating Policy is a direction by King's University College management to all staff and volunteers on how a Board Policy will be implemented operationally within the organization.

1.2.5 Professional and Technical Standards

Professional and Technical Standards articulate professional practices or standards that shape, determine, influence or dictate how a Board Policy is to be implemented within King's University College. Professional and Technical Standards can be sourced from professionally recognized regulatory, funding accreditation or other bodies; staff and volunteers; and others.

Professional and Technical Standards are the actions, tools, or other perspectives that an aligned faculty or staff person would employ to ensure the goal and intent of a Board Policy and its aligned Management Operating Policy is achieved.

Professional and Technical Standards are developed by management, sometimes based on third party professionally recognized sources. They generally do not require Board approval, though Directors of the Board should have the opportunity to comment on them and may need to be informed about them in order to fulfill their governance role.

If the Board feels that certain Professional and Technical Standards require Board approval, then those Academic Professional and Technical Standards should be captured within the aligned Board Policy's content. The Board should attempt to refrain from becoming involved with Professional and Technical Standards approval, as within a policy-oriented governance model, programs, services and operations implementation is the role of the Principal in order to ensure clear and separated accountabilities and the most effective management approaches.

1.2.6 Procedures

Procedures are the steps, key dates, reporting requirements, forms completion and other tasks necessary to fulfill the requirement of a Board Policy relative to delivering a specific action, program, service or related undertaking by a staff person.

Procedures articulate the steps or sequences of action, reporting timelines, forms completion requirements, communication linkages and other actions necessary to achieve the intent, direction and goals of a Board Policy and / or the Standard of Practice, within an orderly, methodical and thoughtful way.

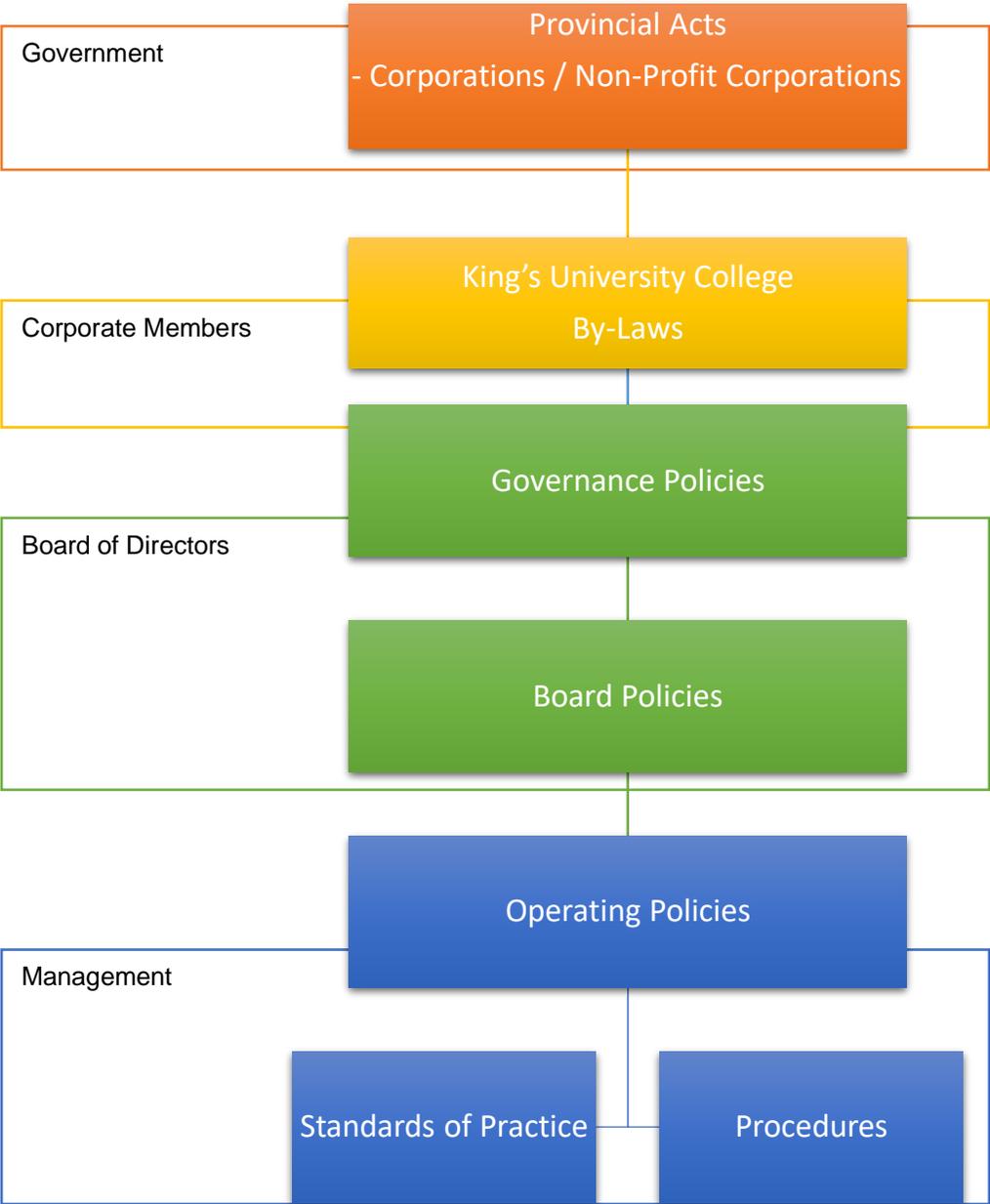
Procedures are developed by management, as they represent the operational implementation of a Board Policy. They do not require Board approval, though Directors of the Board should have the opportunity to comment on them, and may need to be informed of them in order to fulfill their governance role.

If the Board of Directors feels that certain Procedures require Board approval, then those procedural considerations should be captured within the aligned Board Policy. The Board should attempt to refrain from becoming involved with procedures approval, as within a policy-oriented governance model, policy implementation is the role of the Principal in order to ensure clear and separated accountabilities and the most effective management approach.

1.3 Policies and Procedures Alignment

The following chart illustrates the integration of policies and procedures for King's University College and the aligned authority and responsibilities.

**King's University College
Policy Framework Alignment**



Note: See definitions in Governance and Board Policies Binder Preface

1.4 Board Governance Policies

1.4.1 Governance Categories

The King's University College Board Governance Policies and Principal Executive Limitations/ Requirements are provided in this document. The Board Policies are located in Section 2.

The Governance Policies and Principal Executive Limitations / Requirements have been developed in the following categories:

- Governance Framework
- Roles and Responsibilities
- Policy Development and Reviews
- Board of Director Processes and Committee Structures
- Principal Executive Limitations / Requirements